IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

The the Application of

Mark Robert SIVIK et al.

Serial No.: 09/699,522

Filed: October 30, 2000

Group Art Unit: 1751

Examiner: J.R. Hardee

the restaurant of the state of

PECEIVED TO 1700

INFORMATION DISCLOSURE STATEMENT

For: COMPOSITIONS AND METHODS FOR USING POLYMERIC SUDS ENHANCERS

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

Pursuant to Rules 56 and 98, Applicants hereby call the attention of the Patent Office to the references listed on the attached Form PTO 1449. EP 188350 corresponds to US 4,964,873.

Applicants present these references so that the Patent Office may, in the first stance, determine any relevancy thereof to the presently claimed invention, see <u>Beckman Instruments</u>, <u>Inc. v. Chemtronics, Inc.</u>, 439 F.2d 1369, 1380, 165 USPQ 355, 364 (5th Cir. 1970). Also see Patent Office Rule 104. Applicants respectfully request that these references be expressly considered during the prosecution of this application and made of record herein and appear among the "References Cited" on any patent to issue herefrom.

Respectfully submitted,

Date:

APV/kag

ATTORNEY DOCKET NO. APV31122

By:

Anthony P. Venturino Registration No. 31,674

STEVENS, DAVIS, MILLER & MOSHER, L.L.P. 1615 L STREET, N.W., SUITE 850

WASHINGTON, D.C. 20036

TEL. 202-785-0100 / FAX. 202-408-5200

FORM PTO- (Rev. 4/92)	1449	U.S. Patènt	Depart and Tr	ment of ademai	Comm	nerce e			1	ATTY. DOCKET NO. SERIAL NO. APV31122 09/699,522					
OIPE	\ ~~			ON DI						ICANT et al.			REC	F/1	
JUL 0 1 2000	\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\	(Use s	several	sheets i	f neces	sary)				G DATE ber 30, 2000	RECI JUI 02 C 170	Som			
EXAMINER EXAMINER	15					U	J.S. 1	PATE	ENT DO	CUMENTS			170	<u> </u>	
EXAMINER INITIAL		DOCUMENT NUMBER DATE NAME CLASS SUBCLASS											FILING DATE IF APPROPRIATE		
		6	5	2	8	4_	7	6_	03/03	Bodet et al.					
		6	2	7	7_	8	1	1	08/01	Katsuri et al.		[_]	CEIV	CEIVED	
		4	8	3	5	2	1	1	05/89	Noda et al.		SEDU	A 2003		
		4	9	6	4	8	7	3	10/90	Duffin et al.		GROU	P 1700		
		5	5	8	0	8	1	9	12/96	Li et al.					
						FOR	REIG	N PA	ATENT I	OOCUMENTS					
		DOCUMENT NUMBER								DATE COUNTRY	CLAS	S SUBCLASS	TRANSLATION		
	_	-		l "	Ι	Ι	Γ					YES	NO		
	\dashv	1	5	4	1	6	7	0	03/79	GB		_			
		4	3	2	3	6	3	8	01/95	DE				X	
				7	7	5	8	8	04/83	EP				 	
	_		1	8	8	3	5	0	10/90	EP	-			 	
		1	5	8	4	1	2	7	02/81	GB		<u> </u>		 	
			5_	6	0	5	6	7	09/93	EP	ļ			 	
		9	6	1	7	9	1	6	06/96	wo				<u></u>	
	<u> TH</u>	IER	DO	CUM	ENT	S (I	nclu	ding	Author,	Title, Date, Pe	rtine	nt Pages, l	Etc.)		
		US F	Patent	Appli	cation	No. (9/702	2,083	filed Octob	oer 30, 2000 in the n	ame of	Sivik et al.			
		US F	Patent	Appli	cation	No. (09/702	2,084	filed Octob	oer 30, 2000 in the n	ame of	Sivik et al.			
		US F	Patent	Appli	cation	No. (9/698	3,479	filed Octob	oer 30, 2000 in the n	ame of	Yeung et al.			
		US F	Patent	Appli	cation	No. ()9/698	3,149	filed Octob	oer 30, 2000 in the n	ame of	Yeung et al.	· .		
		US I	Patent	Appli	cation	No. ()9/979	9,562	filed Nove	mber 14, 2001 in the	name	of Kasturi et a	al.		
		US I	Patent	Appli	cation	No. ()9/979	9,563	filed Nove	 mber 14, 2001 in the	name	of Kasturi et a	al		
EXAMINER							DAT	TE CO	NSIDERE)					
							•					_			

EXAMINER: Initial if citatin is considered, draw line through citatin if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 U.S. Department of Commerce /(Rev. 4/92) Patent and Trademark Office

ATTY. DOCKET NO. APV31122

SERIAL NO. 09/699,522

FORM PTO-14 (Rev. 4/92)				f Comm rk Office					7. DOCKET NO. 31122		SERIAL NO. 09/699,522			
OIP E			TION DISCLOSURE APPLICANT Sivik et al.							ACA .				
JUL G 7 2003	STATE (Use	several	sheets i	if necess	sary)				G DATE Ober 30, 2000		GROUP FILING DATE			
A COM ACT	E				U	.S. I	PATE	NT DO	CUMENTS			7000		
EXAMINER INITIAL			DOCU	IMENT N	JMBER			DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE		
	3	9	6	0	7	6	3	06-76	Lambou et al					
	4	7	1	3	1	8	2_	12-87	Hiltz et al					
	4	7	3_	4	0	9	9	03-88	Cyprien					
	5	0	2	7	8	9	8	07-91	Naae					
	5	0	4	2	5_	8	3	08-91	D'Souza et al					
	5	1	0	4	6	4	3	04-92	Grollier et al) ,			
	5	1	6	9	4	4	1	12-92	Lauzon		05.	ECEIVER		
	5	2	1	8	0	2	1	06-93	Clark et al		SEP	0 4 7003		
	5	2	3	2	6	3	2	08-93	Woo et al		GRO	IP 1700		
	5	3	4	6	6	9	9	09-94	Tiernan et al					
	5	4	1	5	8	6	0	05-95	Beucherie et al					
	5	4	9	6	4	7	5	03-96	Jho et al					
	5	5	3	6	4	5	2	07-96	Black					
	5	5	4	9	8	6	9	08-96	Iwakawa					
	5	5	8	7	0	2	2	12-96	Black					
	5	6	1	2	3	0	8	03-97	Woo et al			•		
	5	6	1	4	4	7	3	03-97	Dino et al					
	5	6	5	8	9	6	1	08-97	Cox, Sr.					
	5	6	6	5	4	6	6	09-97	Guez et al					
	5	6	8	6	0	2	4	11-97	Dahanayake et al					
	5	7	0	5	0	3	3	01-98	Gerard et al					
	5	7	0	6	8	9	5	01-98	Sydansk					
	5	7	3	5	9	5	5	04-98	Monaghan et al					
	5	8	2	1	2	0	3	10-98	Williamson					
EXAMINER	. 1					DAT	E CO	NSIDERE						
-														

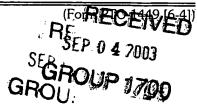
EXAMINER: Initial if citation is c nsidered, draw line thr ugh citati n if not in c nf rmance and n t considered. Include copy of this form with next communication t applicant.

FORM PTO- (Rev. 4/92)			ment of						7. DOCKET NO. 31122		SERIAL NO. 09/699,522	A.	
OIPE	INFOR	MATI MEN	ON DI	SCLC APPLI	SURE CANT			•	ICANT cet al.			ALC 170	EIVE
JUL 0 1 200	y √Use:	several 	sheets i	f necess	sary)				G DATE ober 30, 2000		GROUP /	Cy	2003
FIRADE TRADE	ARMO				U	.S. I	PATE	NT DO	CUMENTS	····-		. 0	<u> </u>
EXAMINER INITIAL			DOCU	IMENT N	JMBER			DATE	NAME	CLASS		FILING IF APPRO	DATE
	4	4	5	4	0	6	0	06/84	Lai et al.				
	5	7	8	3	5	3	3	07/98	Kensicher et al.				•
	5	8	5	3	7	1	0	12/98	Dehan et al.		_		
	5	8	5	8	3	4	3	01/99	Szymczak			DECI	=IVE
	5	8	8	2	5	4	1	03/99	Achtmann	ļ		TILO:	2007
	5	9	0	2	5	7_	4	05/99	Stoner et al.			EP.0 4	
	5	9	0	2	7	7	8	05/99	Hartmann et al.		GF	OUP	1/00
	5_	7	1_	4	0	0_	1	02/98	Savoly et al.				
	5	2	7	7_	8	9	9	01/94	McCall				
	5	5	4	3_	0	7	4	08/96	Hague et al.				
	6_	2	2_	1	8	1	7	04/01	Guskey et al.				
					FOR	EIG	N PA	TENT 1	DOCUMENTS				
			DOCU	MENT N	JMBER			DATE	COUNTRY	CLAS	S SUBCLASS	TRANSL	ATION
		r	<u> </u>	<u> </u>	I		I			+		YES	NO
	9	5	2	2_	3	1_	1	08/95	WO	<u> </u>			
	9	7	2_	9	7	3	6	08/97	WO				
	9	7	3	5	5	4	9	10/97	WO	┼			
	9	9	1	5	3	2	1	06/99	AU	ļ	_		┼
	9	9	1	5	3	2	2	06/99	AU				
	0	3	0	8	1	9	0	03/89	EP	ļ			
	0	0	0	6	1	0	2	02/00	WO	ļ	_		
	9	8	3	8	9	7	3	09/98	wo	ļ <u>-</u>		.=	
	9	8	3	9	4	0	_1	09/98	wo				<u>l</u>
	OTHER	DO	CUM	ENT	S (I	nclu	ding	Author	, Title, Date, Pe	rtine	nt Pages,	Etc.)	
EXAMINER	R					.DAT	E CO	NSIDERE	D		· · · · · · · · · · · · · · · · · · ·		
									ough citation if n tation tation tapplicant.		nformance a	nd not	

FORM PTO-1449 (Rev. 4/92)	9 U.S. Department of Commerce Patent and Trademark Office	PE	ATTY. DOCKET NO. APV31122	SERIAL NO. 09/699,522									
	NFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT Sivik et al.	09/699,522 PC C Z Z Z Z Z Z Z Z Z Z Z Z Z Z Z Z Z									
·	1	TRADEMARY	FILING DATE October 30, 2000	GROUP C 7 2003									
			uthor, Title, Date, Pertinent Pa										
	S. Creutz, P. Teyssie, R. Jerome, (Dimethylamino)ethyl Methacryla	Living Ani	onic Homopolymerization and Bl										
	P. Chaumont, D. Colombani, L. I Synthesis of Functional Polymers (Chapter 22, pg. 362-376) (1998	Involving.	P. Lamps, M. Zink, C.P.R. Nair, a Addition-Fragmentation Reaction	and P. Charmot, <u>Free Radical</u> s, American Chemical Society									
	J. Chiefari, Y. K. Chong, F. Ercol Moak, E. Rizzardo, S. Thang <u>Livi</u> <u>Chain Transfer: The RAFT Proces</u>	ng Free-Ra	dical Polymerization by Reversibl	e Addition-Fragmentation									
	A. Sebenik, <u>Living Free-Radical Block Copolymerization Using Thio-Iniferters</u> , Prog. Polym. Sci. Vol. 23, pg 875-917 (1998)												
	J. Krstina, C. Moad, E. Rizzardo, <u>A New Form of Controlled Growth Free Radical Polymerization</u> Macromol. Symp. 111, pg. 13-23 (1996)												
	S. Sandler, W. Karo, <u>Poly(Vinyl Ethers)</u> , Organic Chemistry, Polymer Syntheses Vol. II, Academic Press N.Y., Chapter 7, pg. 214-231 (1974)												
	V. Butun, N. Billingham, S. Armes, <u>Synthesis and Aqueous Solution Properties of Novel Hydrophilic-</u> <u>Hydrophilic Block Copolymers Based on Tertiary Amine Methacrylates</u> , Chem. Commun. 671-672 (1997)												
	S. Creutz, J. van Stam, F. De Schryver, R. Jerome, <u>Dynamics of Poly((dimethylamino)alkyl methacrylate-block-sodium Methacrylate) Micelles. Influences of hydrophobicity and Molecular Architecture on the Exchange Rate of Copolymer Molecules, Macromolecules, 31, 681-689 (1998)</u>												
	A. Lowe, N. Billingham, S. Armes Macromolecules, 31, 5991-5998		s and Characterization of Zwitterio	onic Block Polymers,									
	D. Shipp, J.L. Wang, K. Matyjasz Atom Transfer Radical Polymeriza												
	X. Zhang, K. Matyjanzewaki, <u>Syn</u> <u>Dimethylaminoethyl Methacrylate</u> (1999)												
	N. Hoogeveen, M. Sohen Stuart, Methacrylate and Dihydroxyprop (1996)												
EXAMINER	DA	TE CONSI	DERED										
EXAMINER:	Initial if citation is considered	draw lin	e through citation if not in co	nformance and not									

EXAMINER: Initial if citation is considered, draw line through citation if not in conformance and not c nsidered. Include copy of this form with next communication to applicant.

<u>}</u>1



EXAMINER INITIAL	INFOR STATE (Use	MEN				(°)	_	APPL					
	- - - - - - - - - - 			f necess	sary)		0.17	Sjvik		(GROUP	PICO JULO 2 C 1700	2003
	T				U	S. I	E TPAS	ENT DO	CUMENTS			70	2
			DOCU	MENT NU	JMBER			DATE	NAME	CLASS	SUBCLASS	FILING D IF APPROP	DATE
	3	0	9	9	6	3	6	7/63	Skiles				
	4	3	0_	4	7	0	3	12/81	Das				
	4	4	8	6	4	8	9	12/84	George				
	3	2	4	9	4	5	5	05/66	Williams				
	3	6	7	1	5	0	2	06/72	Samour et al		ļ		
	4	5	2	8	1	1	1	07/85	Su	-		<u> </u>	
	5	3	3	8	5	4	1_	08/94_	Matz et al.	ļ	ļ		
					FOR	EIG	N PA	ATENT I	OCUMENTS	1		l'	
			DOCU	MENT NU	JMBER			DATE	DATE COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	1	0	7	3	9	4	7	06/67	GB				
	9	1	1	5	5	2	4	10/91	wo			Abstract Only	
	9	8	0	1	4	7	8	01/98	wo				
	5	3	1	1	1	9	4	11/93	JP		_	Abstract Only	
	LUED	DO/	CLIM	ENIT	`C /I.	20111	dina	Author	Title, Date, Po	ertinan	t Pages	Ftc)	
0			•						er 31, 2002 for USS				
				•									
EXAMINER		_				DAT	E CO	NSIDEREI					
EXAMINER:						ered,	draw	line thro	ugh citation if not ation to applicant			nd not	

SEP 0 4 7003 GROUP 1700

(Form PTO-1449 [6-4])